



## Section 4 Appendix A

## CALLDOWN CONTRACT

**Framework Agreement with: Integrity Research and Consultancy Limited**

**Framework Agreement for: Global Evaluation Framework Agreement (GEFA)**

**Framework Agreement Purchase Order Number: PO 7448**

**Call-down Contract For: Independent Evaluation of the Humanitarian Emergency Operations and Stabilisation Programme**

**Contract Purchase Order Number: PO 10065**

I refer to the following:

1. The above mentioned Framework Agreement dated 8 September 2016;
2. Your proposal of 24 March 2021

and I confirm that FCDO requires you to provide the Services (Annex A), under the Terms and Conditions of the Framework Agreement which shall apply to this Call-down Contract as if expressly incorporated herein.

#### **1. Commencement and Duration of the Services**

- 1.1 The Supplier shall start the Services no later than 5 May 2021 ("the Start Date") and the Services shall be completed by 31 December 2022 ("the End Date") unless the Call-down Contract is terminated earlier in accordance with the Terms and Conditions of the Framework Agreement.

#### **2. Recipient**

- 2.1 FCDO requires the Supplier to provide the Services to the FCDO (the "Recipient").

#### **3. Financial Limit**

- 3.1 Payments under this Call-down Contract shall not, exceed £202,720 ("the Financial Limit") and is exclusive of any government tax, if applicable as detailed in Annex B.

When Payments shall be made on a 'Milestone Payment Basis' the following Clause 22.3 shall be substituted for Clause 22.3 of the Framework Agreement.

### **22. PAYMENTS & INVOICING INSTRUCTIONS**

22.3 Where the applicable payment mechanism is "Milestone Payment", invoice(s) shall be submitted for the amount(s) indicated in Annex B and payments will be made on satisfactory performance of the services, at the payment points defined as per schedule of payments. At each payment point set criteria will be defined as part of the payments. Payment will be made if the criteria are met to the satisfaction of FCDO.

When the relevant milestone is achieved in its final form by the Supplier or following completion of the Services, as the case may be, indicating both the amount or amounts due at the time



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and cumulatively. Payments pursuant to clause 22.3 are subject to the satisfaction of the Project Officer in relation to the performance by the Supplier of its obligations under the Call-down Contract and to verification by the Project Officer that all prior payments made to the Supplier under this Call-down Contract were properly due.

#### 4. FCDO Officials

4.1 The Project Officer is:  
REDACTED

4.2 The Contract Officer is:  
REDACTED

#### 5. Key Personnel

The following of the Supplier's Personnel cannot be substituted by the Supplier without FCDO's prior written consent:  
REDACTED

#### 6. Reports

6.1 The Supplier shall submit project reports in accordance with the Terms of Reference/Scope of Work at Annex A.

#### 7. Duty of Care

All Supplier Personnel (as defined in Section 2 of the Agreement) engaged under this Call-down Contract will come under the duty of care of the Supplier:

- I. The Supplier will be responsible for all security arrangements and Her Majesty's Government accepts no responsibility for the health, safety and security of individuals or property whilst travelling.
- II. The Supplier will be responsible for taking out insurance in respect of death or personal injury, damage to or loss of property, and will indemnify and keep indemnified FCDO in respect of:
  - II.1. Any loss, damage or claim, howsoever arising out of, or relating to negligence by the Supplier, the Supplier's Personnel, or by any person employed or otherwise engaged by the Supplier, in connection with the performance of the Call-down Contract;
  - II.2. Any claim, howsoever arising, by the Supplier's Personnel or any person employed or otherwise engaged by the Supplier, in connection with their performance under this Call-down Contract.
- III. The Supplier will ensure that such insurance arrangements as are made in respect of the Supplier's Personnel, or any person employed or otherwise engaged by the Supplier are reasonable and prudent in all circumstances, including in respect of death, injury or disablement, and emergency medical expenses.
- IV. The costs of any insurance specifically taken out by the Supplier to support the performance of this Call-down Contract in relation to Duty of Care may be included as part of the



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management costs of the project, and must be separately identified in all financial reporting relating to the project.

- V. Where FCDO is providing any specific security arrangements for Suppliers in relation to the Call-down Contract, these will be detailed in the Terms of Reference.

### 8. Call-down Contract Signature

- 8.1 If the original Form of Call-down Contract is not returned to the Contract Officer (as identified at clause 4 above) duly completed, signed and dated on behalf of the Supplier within **15 working days** of the date of signature on behalf of FCDO, FCDO will be entitled, at its sole discretion, to declare this Call-down Contract void.

No payment will be made to the Supplier under this Call-down Contract until a copy of the Call-down Contract, signed on behalf of the Supplier, returned to the FCDO Contract Officer.

Signed by an authorised signatory  
for and on behalf of  
Secretary of State for Foreign, Commonwealth  
and Development Affairs

Name:

Position:

Signature:

Date:

Signed by an authorised signatory  
for and on behalf of the Supplier

Name:

Integrity Research and Consultancy Ltd

Position:

Signature:

Date:

## **Section 4, Annex A**

### **Call-down Contract**

#### **Terms of Reference (Annex A)**

##### **General Data Protection Regulations (GDPR)**

Please refer to the details of the GDPR relationship status and personal data (where applicable) for this project as detailed in App A and the standard clause 33 in section 2 of the Framework Agreement.

## **Annex A - Terms of Reference for an Independent Evaluation of the Humanitarian Emergency Operations and Stabilisation programme**

### **Introduction**

1. The Humanitarian Emergency Response Operations and Stabilisation (HEROS) programme (£81.35m over October 2017- December 2022) is a flagship programme of the Foreign, Commonwealth and Development Office (FCDO) and Stabilisation Unit (SU). This Terms of Reference is to procure the services of an organisation to conduct an end-of-programme performance evaluation of the programme. This evaluation is expected to start and run from May 2021 and run until December 2022, or a duration of 20 months (the current end of the HEROS programme).
2. The FCDO and SU are considering whether to utilise a two- year extension for the current HEROS programme (i.e. extension from December 2022 to up to December 2024). If the extension of the programme is utilised, a similar two-year extension with additional evaluation outputs is expected within this Terms of Reference (subject to the satisfactory performance of the evaluation Supplier).
3. The overall budget for this evaluation is up to £400,000 (with £202,720 up until December 2022 and a potential further budget of £197,280 for the additional two-year extension). This is exclusive of VAT, but inclusive of all other taxes and costs including travel and expenses. Evaluation Suppliers are expected to submit competitive bids which will be assessed on both technical and commercial grounds.

### **Background to the HEROS programme**

4. The main objectives of the HEROS programme are to provide global humanitarian emergency operational management and stabilisation support to FCDO and the SU. It enables FCDO to respond rapidly, at scale, to humanitarian disasters anywhere in the world and support HMG's work in protracted crises and on humanitarian reform<sup>1</sup>. It provides SU with a flexible model to support the Government's conflict, stabilisation and security work in fragile and conflict-affected states.
5. The HEROS programme is one of the key vehicles FCDO uses to deliver key elements of the 2017 Humanitarian Reform Policy entitled *Saving Lives, building resilience, reforming the system*. Here the UK commits to five pillars of focus for improving the humanitarian system. These include delivering world class UK response to rapid onset disasters and improving the international humanitarian system. The HEROS programme has been instrumental in exploring a working definition of 'Bigger, Better, Faster' in humanitarian responses, and has been used as a tool to deliver the key reform agenda's which the UK signed up to within the Grand Bargain process at the World Humanitarian Summit in 2016. The Integrated Review on UK foreign, development and security policy; and the Comprehensive Spending Review are currently ongoing and due to publish later in 2020. Both will be important strategy frameworks for the UK's humanitarian policy and operations going forward. It will be important that this evaluation positions itself and the HEROS programme within that wider emerging landscape.

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<sup>1</sup> See the UK's Humanitarian Reform Policy

6. The SU is a cross-government civil-military centre of expertise mandated by the National Security Council (NSC) to support delivery of HMG's conflict, stabilisation and security objectives. Made-up of deployable civilian experts (DCEs), civil servants, police and military experts, The SU supports the UK government's activities in fragile states by being a centre of expertise on conflict, stabilisation, security and justice. The HEROS programme supports the SU in deploying, sustaining and recovering DCEs on tasks, both in the UK and overseas. It provides an embedded security team to provide prompt and accurate security and duty of care assessments. Similarly, the Integrated Review and Spending Review will set the strategic direction for the UK's forward engagement in stabilisation related crisis.
7. The HEROS programme is largely delivered by the Humanitarian and Stabilisation Operations Team (HSOT) via a contract with Palladium International (see Annex A HEROS programme delivery chain). The HSOT contract is for a value of up to £330 million. This covers both the immediate HEROS programme (£81.35million ODA), but also enables wider teams in FCDO and HMG to draw down on humanitarian and stabilisation services within the remit of the contract. Within HMG, the programme is managed by two Senior Responsible Owners in SU and FCDO (Humanitarian Response Group), who have a 30:70 budgetary split of the programme respectively.
8. The HEROS programme is designed to enable to allow the UK to respond to the increasing number of humanitarian crises globally. In a context where humanitarian need is increasing and donor resourcing is static or declining, the UK requires a solution that will provide the most effective and efficient capability to respond to its humanitarian and stabilisation commitments. The HEROS business case clearly lays out the context for this programme.
9. In terms of outcomes, the HEROS programme aims to achieve the following results:
  - UK able to provide an effective and timely response to at least six new crises each year, including at least one large response and ongoing support to protracted crisis management.
  - FCDO's ability to provide a bespoke and flexible response to rapid onset disasters and protracted and chronic crises is increased.
  - Robust humanitarian supply chain and operational capability improves FCDO's ability to prepare for and respond to the full range of humanitarian crises'
  - Stabilisation Unit has proportionate and scalable operational capacity to effectively contribute toward achieving National Security Council (NSC) objectives to address conflict and instability overseas
  - Support National Security Council (NSC) to address conflict and instability overseas
10. These outcomes translated into four broad areas of work and service provision:
  - Humanitarian emergency response operations management - supporting planning, preparedness and capacity to response.
  - Humanitarian horizon scanning, early warning and information management for emerging crisis and changes in protracted crisis.
  - Operational human resource capacity and deployments – recruitment, deployment and management of humanitarian and stabilisation expertise.
  - Procurement and logistics services for both humanitarian and stabilisation operations
11. The role of HSOT in delivering these outcome level results, and specific requirements in terms of the scale and shape of particular services, are detailed in the Terms of Reference of the

HSOT which informed the procurement of a prime HEROS programme delivery partner – Palladium International (see Annex B).

12. Box 1 sets out the headline Theory of Change for the HEROS programme as articulated in the original business case. More detailed impact, outcomes, outputs and assumptions have evolved over time in the programme's Logical Framework which acts as a key programme management tool across FCDO, SU and HSOT in setting annual milestone targets at an output level and capturing delivery to date. However, the programme's Theory of Change has not been substantively revised since business case phase.
13. In advance of developing this evaluation Terms of Reference, FCDO, SU and HSOT hosted a workshop to reflect on the scope, objective and approach of an independent evaluation of the HEROS programme (see Annex C for write-up). One of the key reflections of this group was that the HEROS programme is effectively more of a portfolio, and potentially a number of projects and/or programmes rolled into one. Whilst the business case Theory of Change still broadly reflects the areas of focus of the programme, high-level strategic objectives, and broad areas of activity/services delivery through the HSOT contract; it does not reflect the detail of what is happening within the programme and articulate the pathways for quality delivery and change (particularly in terms of FCDO/SU and HSOT interaction and ways of working). The workshop reflected that it may be more useful to develop more nuanced Theories of Change for each discrete component (e.g. humanitarian vs stabilisation), whilst maintain the generic overview.
14. There had been an ambition to use this independent evaluation as a moment to reset the programme's Theory(ies) of Change to support the evaluation and support any programme course correction. However, given that there is now only two years remaining of the current programme, this Terms of Reference has been framed to focus as more of an end-line evaluation against the original programme intentions (e.g. business case, theory of change), as opposed to supporting programme reflection and adaption. However, findings from this evaluation are expected to feed into any successor FCDO/SU programming in relation to humanitarian and stabilisation operational capabilities, and also inform any 2 year extensions of the current HSOT contract.

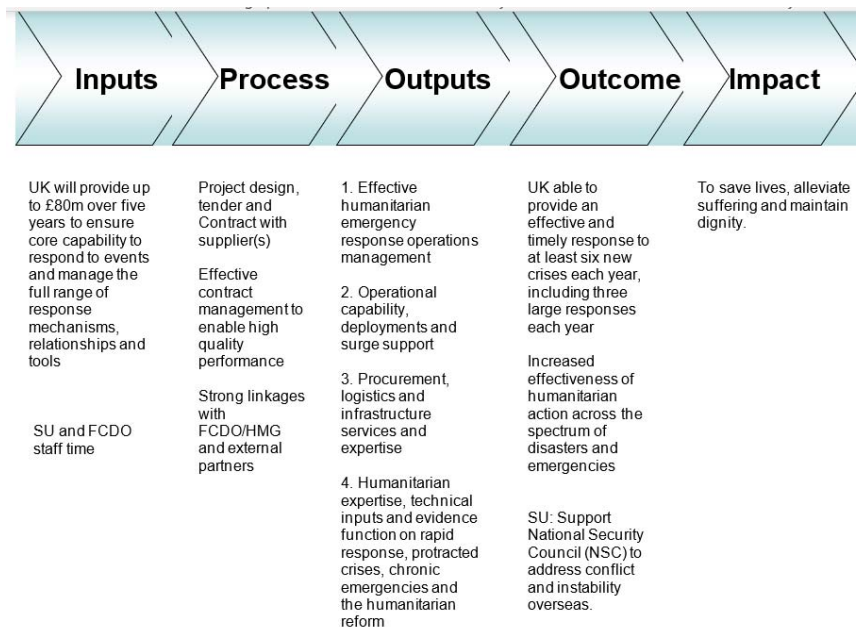
**Box 1: Extract from the HEROS Business case original Theory of Change**

“Effective delivery of these objectives will enable the UK to maintain and deploy an effective bilateral response capability. Strong DFID and SU management of this programme will be crucial to ensure this programme is effectively docked into DFID and SU’s wider development programme, and the UK’s response to crises overseas. Strong management and M&E will ensure this programme supports broader changes in effectiveness.

The critical assumptions include that there will be continued global need for activities delivered under this Business Case. There is also an assumed ongoing appetite to respond bilaterally and support from the range of UK actors required to enable bilateral response. It will not be possible to anticipate full range of emergencies, therefore there is inbuilt flexibility, scalability and capability in the programme. Outputs will differ depending on the type of response activated. DFID and SU have designed this programme to enable flexible responses to different emergency scenarios.”

This theory of change has since organically evolved with the development of the programme logframe over the last three years. The current programme logframe can be found here:

[http://iati.fcdo.gov.uk/iati\\_documents/55232779.xlsx](http://iati.fcdo.gov.uk/iati_documents/55232779.xlsx)



15. To date, against the £330million contract a total of £60.3m (as at October 2020) in goods and services have been delivered. In terms of balance, the HEROS programme and HSOT contract to date from a budget perspective has majored on humanitarian and stabilisation deployment and technical advisory services, with more modest spending on the procurement of humanitarian goods and logistics (e.g. in 2020 the programme spent £20.8m on surge deployments and standing team cost; and £2.2m on procurement costs). Box 2 gives a headline overview of the results and services provided by the HSOT contract in 2019/20 for the HEROS programme.



**Box 2: HSOT annual assessment 2019/2020 – headline results**

- Technical humanitarian advisory support and logistics to four new rapid onset crises (Albania earthquake, Vanuatu cyclone, Lebanon explosion, and COVID19), and advisory support to various protracted crisis including Mozambique, Ukraine, Venezuela, Pakistan, DRC, and Sudan.
- Delivered 168 new HSOT humanitarian surge expert deployments, with up to 57 people deployed at any one time across 36 FCDO teams.
- Maintained and expanded the humanitarian surge roster to 360 (an additional 60 people in 2020) with expanded skills sets on health, cash, protracted crisis and information management.
- Contracting and sustaining almost 300 SU Deployable Civilian Experts (DCE) at any one time.
- Humanitarian supply-chain support to over 15 operations, with over 10 detailed supply-chain plans developed and delivery of humanitarian relief items to Albania, Vanuatu, Turkey, Ghana, Bangladesh and Beirut.
- Maintained 24/7 humanitarian crisis surveillance and monitoring with 39 earthquake alerts with 22 updates, 62 Humanitarian Monitoring Briefs and 21 Humanitarian Monitoring Information Notes (with 96% delivered on time).
- Humanitarian early warning products with 12 Humanitarian Global Risk overviews, 14 dynamic Risk Briefs, and three deep dive scenario analysis.

**Purpose of the evaluation**

16. An evaluation was incorporated into the original HEROS business case, but with limited detail on proposed purpose, objectives and scope. Based on a consultation cross FCDO, SU and HSOT (the prime partner) the following has been agreed:
  - a. The primary purpose of the independent evaluation of the HEROS programme should be on learning. Within the programme what has worked well, what has not work so well, and to identify ways of doing things better over the remaining life of the programme and what should (or should not) be taken forward in any successor programme.
  - b. A secondary purpose of this evaluation will be accountability, particularly in relation to the achievement or not in relation to outcome-level programme objectives. The programme has an extensive range of processes and tools which monitor and report on day-to-day activities and track output-level progress. This independent evaluation will complement these processes and bring an independent view to outcome-level programme performance.
17. Broadly, this evaluation is expected to be a performance evaluation which runs over the remaining two years of the programme (May 2021 to December 2022), looking at how

effective the prime partner HSOT, working with SU and FCDO, has been at achieving outcome-level goals. Given that much of the programme is about delivering relatively embedded technical advisory services across HMG, as well as providing relatively bespoke UK operational humanitarian and stabilisation capabilities, it is also expected that the evaluation should explore to some degree business processes in a way that a process evaluation would.

### Evaluation objectives

18. There are two main evaluation objectives:

- Objective 1: to assess the institutional set-up and processes which enable the delivery of HEROS programme activities and outputs; and the respective roles and responsibilities of different stakeholders in terms of HSOT as the prime supplier, and SU and FCDO (Humanitarian Response Group) as prime clients, and wider clients within FCDO and HMG who draw down on services (e.g. humanitarian and stabilisation expert deployment, procurement of humanitarian relief items) from the programme.
- Objective 2: to evaluate the performance as a supplier of HSOT, working with FCDO and SU client, on achieving the outcome-level objectives of the HEROS programme. This includes the delivery of bespoke and flexible humanitarian responses to rapid onset disasters, and protracted and chronic crisis; evidence of robust humanitarian supply chain and operational capability that improves FCDO's ability to prepare for and respond to the full range of humanitarian crisis; proportional and scalable SU operational capacity to effectively support HMG contribute toward achieving National Security Council (NSC) objectives to address conflict and instability overseas.

19. In terms of the balance of effort and focus between these two objectives, it is planned that Objective 2 will be the emphasis of this evaluation with a rough 30:70 split of effort.

### The Recipient

20. The main recipient of the services of this evaluation is FCDO (Humanitarian Response Group) and the SU. FCDO and SU are the Senior Responsible Owners (SROs) for the programme, and are ultimately accountable for its effective delivery. The primary audience for the evaluation report will be FCDO (HRG, humanitarian policy and institutions teams, wider humanitarian cadre, senior humanitarian management), SU, and HSOT as the prime partner funded under the HEROS programme.

21. There are several wider external stakeholders who will potentially be interested in this evaluation, including other donors who have similar humanitarian response operations capabilities as well as wider international humanitarian and stabilisation actors (e.g. UN, Red Cross, INGOs) who have an interest in how the UK acts as a humanitarian and stabilisation donor, and also who on different levels interact with the programme (e.g. UN secondments)

### Scope of the evaluation

22. The evaluation is expected to run from May 2021 until December 2022 (i.e. the final two-years of the HEROS programme). If the HEROS programme is extended by a further two-years

(pending a SU and FCDO decision), there will also be scope for additional evaluation products over this period.

23. The evaluation is predominately expected to cover the Humanitarian and Stabilisation Operations Team contract component of the HEROS programme, and to specifically cover:
  - Humanitarian emergency response operations management - supporting planning, preparedness and capacity to response across FCDO.
  - Humanitarian horizon scanning, early warning and information management for emerging crisis and changes in protracted crisis across FCDO.
  - Humanitarian advisory support by the core team to UK humanitarian policy priorities across areas such as cash, localisation, protection, gender-based violence, and wider.
  - Operational human resource capacity and deployments – recruitment, deployment and management of humanitarian and stabilisation expertise, including security and welfare of employees, as well as the management of UK funded deployments via UN Disaster Assessment and Coordination team and UN Standby Partnership mechanisms.
  - Procurement and logistics services for both humanitarian and stabilisation operations – including the stockpiling of relief items and rapid transportation in emergencies.
24. As described earlier, the HEROS programme and HSOT contract enables teams across FCDO and wider HMG to draw down on services from the contract. For example, at any one time there is 50 or so humanitarian experts deployed to UK overseas Missions and over 200 stabilisation focused Deployed Civilian Experts. This evaluation will include in its scope these deployments.
25. The focus on the evaluation will be the HEROS programme and HSOT contract. However, given that the programme is integrated within the business models of the prime Clients (FCDO/HRG and SU), it will be important to reflect on the relationship between Client and Supplier (Palladium International) in terms of direction and utilisation of HSOT programme capabilities. The evaluation will develop and articulate a nuanced understanding of the dependencies that determine the uptake of HEROS capability by its clients, and therefore corresponding delivery by HSOT on behalf of HRG/SU.
26. In terms of what is out of scope of this evaluation:
  - Wider FCDO capabilities which interact with the HEROS programme and HSOT contract (i.e. UK Emergency Medical Team, UK International Search and Rescue). The evaluation will look at the relationship between capabilities, and the delivery of HSOT services and activities to support over capabilities, but not evaluate other capabilities directly.
  - Overall FCDO humanitarian rapid onset responses. The HSOT team plays an important role in supporting UK rapid onset emergency responses, particularly in terms of delivery of relief items, deployment of humanitarian experts, and information management and analysis. This evaluation will look at the role of HSOT within responses, but will not evaluate wider responses which can include UK grant funding to the UN, Red Cross and NGO partners.
  - Wider review of the SU and the way it delivers expert deployments outside of the HEROS programme.

- Evaluation of the explicit impact on beneficiaries will not be systematically explored by this evaluation. There are too many external variables, and the goal of the HEROS programme is on efficient and effective service delivery to SU and FCDO, which in turn enables the delivery of UK assistance to beneficiaries. The only scenario where the programme has a role in more direct delivery of aid to beneficiaries is in the form of in-kind relief assistance (e.g. shelter, WASH kits, solar lanterns) which are onwardly distributed by UK selected partners.

27. In terms of geographical scope, the HEROS programme is global with a large proportion of HSOT core staff based in the UK, but producing globally focused products (e.g. global humanitarian risk updates) and providing advice and surging additional humanitarian and stabilisation expertise overseas to countries in crisis. A large part of the evaluation will be looking at the ways in which the core HSOT team works in London, supporting FCDO and HMG objectives overseas. However, there is more detail in the methodology section on what expectations are in terms of exploring outcome level results, some of what materialises overseas.

### Evaluation questions

28. The evaluation of the HEROS programme will be guided by the OECD DAC criteria – relevance, coherence and efficiency<sup>2</sup>. Broadly, the evaluation will explore:
- a. **Relevance:** To what extent is the HEROS programme and the HSOT the most effective mechanism to meet current and evolving needs in humanitarian and stabilisation sectors?
  - b. **Coherence:** How well does HEROS programme fit with, and is complementary to, activities from other actors (within FCDO and SU and in wider communities)?
  - c. **Efficiency:** how well are resources allocated and used within the HEROS programme and HSOT?
  - d. **Effectiveness:** To what degree is HEROS programme achieving its overall objectives and outcomes?
29. Below is an indicative list of evaluation questions mapped against the overall evaluation objectives. This list of evaluation questions was derived from a workshop between SU, FCDO and HSOT (Palladium) senior management and SROs (see Annex C workshop report). During the inception phase of the HEROS evaluation, it will be important for the evaluation Supplier to further focus down and refine these questions with FCDO, SU and HSOT, and develop a more detailed approach and methodology to answering them.

### ***Objective 1: institutional set-up and processes of the HEROS programme***

#### Relevance

- Does HEROS fill a particular niche within HMG? How well aligned is HEROS to UK humanitarian and stabilisation policy objectives? This might include a review of relevant HMG capabilities outside of the programme to identify the existence of any potential ‘niche’ for HEROS;

<sup>2</sup> <https://www.oecd.org/dac/evaluation/49756382.pdf>

- A comparison of UK humanitarian and stabilisation policy objectives against the strategic objectives of the programme (presumably the logframe outcomes); and,
- A reflection on the development of these objectives and why these were selected for the programme.
- How is the HEROS programme being utilised across FCDO and Other Government Departments and by whom? From the point of view of the different HMG customers, how relevant are the services that HEROS provides for current and future requirements?

#### Coherence

- In what ways does HEROS add value to HMG's overall response to humanitarian and stabilisation crises? Can we discern a level of contribution, as requested by FCDO/SU, specific to HEROS?

#### Efficiency

- In what ways do SU, FCDO and Palladium work together most efficiently to deliver activities and objectives under the HEROS programme, and what are the gaps or challenges?
- To what extent has CHASE-HRG humanitarian planning preparedness and capacity to respond to humanitarian events been strengthened as a result of the range of capabilities in HEROS programme?
- To what extent has the management and coordination of SU's response to acute and protracted crises, and its advisory capacity, improved as a result of HEROS?
- Has the HERMIS information system been well designed and established? Has its uptake and use been optimal?

#### Effectiveness

- In accordance with the Business Case, has HEROS delivered effective and timely responses for at least six new crises each year?
- Has there been a robust supply chain and operational capability that has improved HMG's ability to prepare for and response to a range of humanitarian crises?
- Has HEROS provided SU with proportionate and scalable operational capacity to effectively contribute toward achieving NSC objectives in addressing conflict and instability overseas?

### ***Objective 2: HERO programme delivering against outcome-level goals***

#### Relevance

- Are the activities and outputs of HEROS consistent with and conducive to achieving (a) its overall goal of saving lives (and more recently a bigger, better, faster response) and (b) its objectives? Has the delivery of the programme through an external supplier been the best mechanism to achieve these objectives?
- Given the changing manner in which responses are launched and managed across the globe, how relevant is HEROS in terms of humanitarian and stabilisation responses? To what extent are the original objectives and theory of change of the programme (and iterations) still valid?

#### Coherence

- In light of changing contexts and the goals of humanitarian reform and levels of demand, is HEROS still fit for purpose?
- Are HEROS interventions supplementary/complementary to those of other actors in the field?

- To what degree has HEROS supported FCDO in upholding or promoting objectives under the UK Humanitarian Reform Policy and wider humanitarian standards that the UK is a supporter/signatory?

#### Efficiency

- Has HEROS supported the delivery by FCDO of its Grand Bargain commitments (making humanitarian work more efficient)? How strong is its advisory and supply capacities?
- To what extent has HSOT analysis and its ability to anticipate conflict/humanitarian events (emerging crisis and rapid onset) been strengthened by the development of a systematised approach to information management, horizon scanning and information management?
- To what extent have SU's security and advisory services in conflict settings been managed more efficiently as a result of HEROS?
- Has there been strong end-to-end supply chain management providing goods and services, operational capability and advice to humanitarian and stabilisation crisis?

#### Effectiveness

- To what extent has HEROS increased the UK's ability to provide a bespoke and flexible response to rapid onset disasters and protracted and chronic crises?
- What has been the added value of, and how effective and timely were, the advisory support and deployments of suitably qualified expertise and management of personnel for the duration of deployment (consultants, DCEs and Core Team) to DFID and SU departments and teams?
- What are the key major internal and external factors influencing the achievement or non-achievement of HEROS objectives?
- How has HEROS demonstrated adaptability in DFID and SU responses that matches changing demands?

30. **Cross-cutting themes:** in addition to the questions above, the evaluation Supplier should consider how to explore cross-cutting themes relevant to the humanitarian and stabilisation sectors. These should be integrated. At a minimum the evaluation should address cross-cutting issues around gender equality, safeguarding, and inclusion. These themes should be integrated throughout the evaluation enquiry and not treated as separate issues. An approach to doing this should be explored by the Evaluation Supplier during the inception phase, and articulated in the inception report.

31. Once contracted, the evaluation Supplier will be expected to develop a stakeholder mapping, data collection and analysis plan, and an Evaluation Matrix of key evaluation questions, sub-questions and evidence sources during the inception phase for review and approval.

#### Methodology

32. The Supplier is expected to develop a rigorous evaluation design and methodology during the inception phase. As this is largely a programme which delivers technical expertise, it is expected that a mixed methods design combining analysis of primary and secondary quantitative and qualitative data will be appropriate to respond to the evaluation questions. The framework used to analyse both quantitative and qualitative data should be determined by the evaluator.

33. The following data collection methods are encouraged:

- A desk review of key FCDO/SU and HSOT programme documents: business case, annual reviews, contract documentation, progress reports, HEROS Programme Board documents, programme risk registers, various programme level strategies (e.g. communications, MEL, knowledge management, HERMIS) and so on.
- Programme monitoring data/management information from HSOT and/or SU and FDCO<sup>3</sup> in terms of the logframe and other contract monitoring tools. An initial discussion with HSOT in terms of what is possible to extract in term of the former from the HERMIS database (programme's information management database) will be key.
- Key Informant interviews and/or surveys with key internal stakeholders (FCDO, SU, HSOT, HMG<sup>4</sup>) and potentially wider external stakeholders. Developing an approach to purposive sampling to address evaluation questions will be key.
- Maximum of 4 case studies where there has been a density of HSOT engagement, with potential travel, to explore how HEROS programme engagements have achieved outcome level objectives on the ground (see more below)

34. **Case Studies:** at this stage it is considered that case study examples with a geographic focus (and in-country data collection) could validate or add insight into the evaluation findings. There are different ways in which this could be structured, for example, a "Real-time" evaluation approach during a humanitarian rapid onset where there is a significant HSOT engagement across deployments, early warning and reporting, humanitarian advice, and procurement of relief items; or an engagement with a protracted crisis where there has been a density of HEROS programme and/or HSOT engagement over time.

35. Bidders should include 3-4 case studies in their technical tender with the costs clearly identified in the commercial tender. In terms of the latter, the costs associated with in-country case studies should be discretely presented. A decision on whether to proceed with case studies, including in-country data collection, will be taken after the inception phase of the evaluation, based on an assessment by the evaluation Supplier on the value of this approach in generating insight against the revised evaluation questions.

36. If for the case studies overseas travel is planned, FCDO will work closely with the evaluation team to draw up this list and provide necessary contact details of relevant country focal point personnel, including with FCDO overseas Missions. During country visits, the Supplier will be expected to manage all visits arrangements with relevant country officials, stakeholders and technical partners in country.

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<sup>3</sup> The evaluation is not expected to draw on data sets outside of the programme. FCDO, SU and HSOT will make available programme related monitoring data, and other sources of programme management information. Although likely to be significant, this is likely to be a patchwork of different types of programme information/data with different levels of quality and longevity. An initial inception phase activity will be to map programme monitoring data sources, assess quality and value in addressing evaluation questions, and make recommendations on how it can be complimented with primary data collection.

<sup>4</sup> Key informant interviews with key past and present HSOT, FCDO and SU staff will be key in understanding the programme's journey over the three years. It will be important to interview different HSOT "clients" including UK Missions overseas, in-country and regional humanitarian advisors, as well as wider internal FCDO stakeholders who engage with the programme. The FCDO and SU programme management teams will work with the evaluation Supplier to identify key informants (but with the Supplier leading on the sampling approach). External to HMG humanitarian stakeholders should also be part of the sample.

37. **Evaluation Code of conduct:** It is essential that this piece of work is independent (i.e. those conducting the evaluation must be objective and not connected with the programme under evaluation); be transparent (i.e. results must be publicly available); and use robust methodologies, which if replicated would produce similar results. The evaluation of FCDO assistance is guided by the core principles of independence, transparency, quality, utility and ethics. The Supplier will be expected to work according to these principles.

#### **Key deliverables and outline work plan**

38. There will be three core phases to this evaluation. They are:
- a. Inception phase – to further understand the programme and theory of change, and refine the evaluation questions, cross-cutting theme analysis (e.g. gender, inclusion, safeguarding) and methodology, and update the evaluation workplan.
  - b. Emerging findings phase – initial findings from documentary review and initial data collection. This will inform the Y4 (September 2021) HEROS programme FCDO Annual Review.
  - c. End-term evaluation – synthesising end of programme findings for accountability and learning, including the dissemination of findings (by December 2022)
39. There is a provision in the HSOT contract to extend the programme for an additional two years beyond October 2022. A decision whether to utilise this extension is likely in mid 2021. If this extension is utilised, then at the end of the “emerging findings” phase a decision will be made with the evaluation Supplier on a further set of evaluation outputs beyond December 2022.

#### ***Set-up and Inception phase (2 months – May to June 2021)***

40. The evaluation is expected to start in May 2021 with a 2-month inception period. A kick-off workshop (if possible) with FCDO, SU and HSOT stakeholders is expected early in the process.
41. The submission of an inception report is expected by the end of month 3, with a month for iteration and finalisation (to note that inception report will be submitted to FCDO Quality Assurance process).
42. The following is expected to be included in the inception report:
- a. Initial reflections from the inception phase
  - b. Initial map of key relevant programme and policy documentation and an agreed protocol with the FCDO, SU, and HSOT on sharing of documents and knowledge management.
  - c. Assessment of programme management and monitoring systems/information and what data and reporting is available to support the evaluation
  - d. Detail evaluation framework/matrix with finalised focused down evaluation questions; an approach for cross-cutting themes (e.g. inclusion, gender, safeguarding); methodologies to answer questions; data collection sources, sampling (including an awareness of gender and inclusion dynamics/issues as relevant for this evaluation/programme) and triangulation; approach to analysis; and quality assurance. This should include recommendations on whether to proceed with the case study approach (and an updated budget depending on these costs).
  - e. Evaluation stakeholder map and communications plan which will map the internal and external stakeholders with an interest in evaluation findings, and propose ways in



which these stakeholders can be engaged proportionately over the duration of the evaluation.

- f. Updated workplan with detailed timings on the emerging findings and end-term evaluation phases.
- g. Updated evaluation risk register

#### ***Emerging findings phase (5 months - July to November 2021)***

- 43. Following the approval of the inception report the Supplier will commence the evaluation. An emerging findings report is planned to be submitted to FCDO/SU by the end of August 2021. The idea of this report is to feed into the Year 4 FCDO Annual Review of the HEROS programme which will be conducted over August/September. The following is expected to be included in the emerging findings report:
  - a. Initial evaluation reflections and findings, and early recommendations.
  - b. Any course correction in terms of evaluation approach, questions or methods.
  - c. Updated risk register and workplan (if appropriate)

#### ***Summative evaluation phase (12 months December 2021 – December 2022)***

- 44. The evaluation Supplier will need to determine how data collection and analysis will be paced over the 12-month end-term evaluation phase. Systems will need to be in place to ensure that required programme documentation and data is regularly shared by HSOT, FCDO and SU and the evaluation Supplier. The evaluation Supplier will also need to be targeted and efficient at drawing on FCDO, SU and FCDO staff time, and flexible if the team is in crisis mode and unable to honour previously arranged commitments.
- 45. The submission of the final evaluation report is expected by September 2022, with a month for final feedback and iteration before finalisation by the end of October (to note the evaluation report will need to be submitted to FCDO's Quality Assurance process). The evaluation Supplier will then have a month to share and disseminate the final report.
- 46. The following final evaluation report products are expected:
  - a. Final summative evaluation report– no more than 40 pages
  - b. Final evaluation summary with key findings and recommendations – 2 pages
  - c. Slide pack/presentation summarising the evaluation findings
- 47. In terms of dissemination, at minimum the evaluation Supplier should plan for at least three presentations with internal FCDO/SU stakeholders and HEROS programme partners. The evaluation Supplier should also consider and factor in proportionate dissemination plans with wider, external stakeholder audience. This should draw on existing practitioner networks and platforms (e.g. ALNAP and ODI Humanitarian Practice Network for humanitarian), as opposed to establishing anything standalone or discrete for this evaluation.

#### **Skills and expertise**

- 48. Bids from organisations and/or consortium should have a proven track record of delivering evaluations of complex humanitarian and development programmes. It will be important for the evaluation team to ensure a broad range of technical subject matter expertise (e.g. humanitarian response, early warning, logistics, stabilisation) and mixed methods evaluation methodology expertise. The evaluation will require strong Team Leadership with excellent

technical capabilities and client relationship management skills; and a tightly coordinated approach to programme and data management.

49. Specifically, the evaluation team will be expected to include the following expertise:
  - a. Expertise in conducting qualitative and quantitative evaluations of humanitarian and stabilisation programmes
  - b. Knowledge and expertise in value for money approaches and methodologies for evaluating humanitarian and development programmes.
  - c. Knowledge of the global humanitarian system, understanding of different humanitarian stakeholders and modalities, and particularly the role of a donor within that context.
  - d. Knowledge of the global humanitarian policy environment.
  - e. Knowledge and expertise in humanitarian operations and emergency management and crisis response; procurement and supply-chain management; crisis information management and early warning; and human resource management and deployment.
  - f. Strong analytical skills and the ability to think strategically and concisely analyse and integrate information from a diverse range of sources into practical and realistic recommendations.
  - g. Effective communications skills, written and spoken English.
50. Bidders must include CVs of all proposed core team members and their role in delivering this TORs as part of the inception phase and beyond. Evaluation Suppliers should also think about how to bring in inclusion and gender-awareness into the evaluation team. This need not necessarily be through standalone advisors or technical roles but will be important cross-cutting themes to have awareness of.
51. Post-inception phase if a decision is made to proceed with case studies which include in-country travel the evaluation Supplier should consider strongly drawing on national researchers/consultants for local data collection and analysis.

#### **Budget**

52. The maximum budget currently available until December 2022 for this contract is £202,720 and £400k until December 2024 (note this figure is exclusive of VAT).
53. This includes potential budget for a maximum of 4 case studies which may include data collection in field locations. Evaluation Suppliers should present the budget for case studies separately in financial proformas. At the end of the inception phase a decision will be made with the evaluation Supplier on whether to proceed with the case studies, and the budget amended accordingly.
54. As described earlier, a decision by FCDO and SU will be taken in mid 2021 on whether to extend the core HEROS programme for a further two years. If this happens, FCDO and SU will discuss with the evaluation Supplier at the end of the “emerging findings” potential further evaluation engagement and outputs over December 2022 to December 2024. The whole contract value of the evaluation, including the additional two years, will be no more than £400k (exclusive of VAT).

#### **Governance, Management and Reporting**

55. In terms of day-to-day management and oversight, the evaluation Supplier will report to the FCDO and SU senior programme managers for the HEROS programme. The evaluation Supplier will need to provide their team with independent working space and equipment (this will not be provided by FCDO or SU). The evaluation Supplier will act as an independent entity but will need to establish working level approaches with FCDO, SU and HSOT to periodically share relevant programme documentation (protocol and frequency of sharing to be agreed) and any monitoring data and information. This will be worked through during the inception phase. In terms of general culture of “ways of working” between the evaluation Supplier, FCDO, SU and HSOT we would expect a generally collaboration approach during the inception and implementation phases (noting the importance of the evaluation Supplier in maintaining their independence).
56. An Evaluation Steering Committee will be established to oversee the evaluation. The role of the Steering Committee will be to provide strategic direction to the evaluation, and formally sign-off key evaluation outputs (i.e. inception report, interim report, Summative evaluation). It will consist of the FCDO and SU Senior Response Owners (SROs) for the programme; the SU and FCDO senior programme managers; FCDO humanitarian advisor; SU/FCDO commercial advisor; and an independent evaluation expert. To avoid a conflict of interest, the steering committee members will not concurrently be employed by Palladium or any sub-partner. The steering committee will meet at least twice a year, around the time of key evaluation deliverables. The Steering Committee will also play a role in brokering emerging evaluation findings with other internal stakeholder groups in FCDO (e.g. humanitarian cadre, wider teams in CHASE, senior managers). This will complement and contribute to the evaluation Supplier’s Evaluation Communications plan developed in inception.
57. It will also be crucial that evaluation Supplier, particularly at key evaluation output moments, engages with and gets feedback from the broader governance structure of the HEROS programme. This will be at two levels the quarterly HEROS Programme Board which meets quarterly with HSOT, FCDO, and SU senior managers to oversee strategy programme delivery; and the HSOT, FCDO and SU Directors’ meeting which meets annually. The commissioning of this evaluation has been endorsed by both groups.
58. In terms of written reporting, the evaluation Supplier will be expected to provide the following updates to FCDO/SU programme managers (in addition to key deliverables/outputs described earlier):
- a. Short monthly update emails – overview of key activities, risks and issues
  - b. Quarterly and annual progress (January 2022) reports (no more than 15 pages) – more substantive reports on progress for delivering evaluation outputs, risk and issues, any course corrections, adjustments to work planning etc.

#### **Other specific requirements**

59. **Ethics:** The evaluator will be expected to adhere to the FCDO Ethics Principles for Research and Evaluation<sup>5</sup> and specifically to the principles for Digital Development. This will include but not be limited to the following:
- a. Information gathered e.g. financial reports, interview responses etc. will be treated confidentially.
  - b. Individual respondents will be informed of the purpose of the evaluation and have the option to voluntarily participate in the evaluation.
60. **Conflicts of interest:** Ensuring independence is crucial for any FCDO commissioned evaluation. As described earlier, those conducting this evaluation should be separate from the implementation of the HEROS programme. This means that MEL team members should not have a past or present role on the direct implementation of the HEROS programme or HSOT operation team (e.g. as a past or present employee or sub-contractor of Palladium or any other supplier that has worked on HSOT) as well as anyone who worked as a core team member on the predecessor contract to HEROS during the last three years of the contract. Evaluation suppliers should flag any potential conflicts of interest, and how conflicts of interest will be tracked and managed over the life of the evaluation.
61. **Quality assurance:** All evaluation reports (i.e. inception report, emerging findings and end-term reports) will be independently quality assured through the FCDO Evaluation Quality Assurance and Learning Service (EQUALS). The end-term evaluation will be published. FCDO and SU will also publish a management response to these reports indicating the extent to which recommendations will be adopted.
62. **Intellectual property rights:** any reports or documents prepared or information produced by or on behalf of the Supplier relating to the Contract and all intellectual property rights therein will be the property of the Crown. The Supplier will therefore assign to the Crown all intellectual property rights in such materials generated by the Supplier in the performance of the Contract and waive all moral rights relating to such materials.
63. **Confidentiality:** there may be some information shared with the evaluation Supplier which is commercially confidential. The evaluation Supplier will be bound by confidentiality clauses in their contract, and will need to work with FCDO, SU, and HSOT to ensure that they handle appropriately any commercially confidential information. The evaluation Supplier will also ensure robust quality assurance of final, publicly available reports to ensure that no commercially sensitive information is disclosed.
64. **General Data Protection Regulations (GDPR):** Please refer to the details of the GDPR relationship status and personal data (where applicable) for this project as detailed in App A and the standard clause 33 in section 2 of the contract.

## Risk and constraints

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<sup>5</sup> <https://www.gov.uk/government/publications/dfid-ethical-guidance-for-research-evaluation-and-monitoring-activities>

65. Evaluation suppliers in their bids will need to present an initial risk register in their tenders which will be developed as part of the inception phase and kept live throughout the evaluation.
66. Key risks and/or constraints that the evaluation Supplier should consider include:
- a. Managing a wide range of evaluation stakeholders, including FCDO and SU as joint SROs, HSOT/Palladium as the prime implementing partner, and various HMG counterparts who draw on HSOT services and benefit from the HEROS programme.
  - b. Building an understanding and designing an evaluation approach for a complex, multi-faceted programme, where attribution at the outcome level will not always be clear with many factors feeding in and relatively long delivery-chains.
  - c. Building flexibility into timelines and processes to accommodate for key evaluation stakeholders going into crisis mode during critical periods of data collection and/or sign-off of evaluation products.
  - d. Ensuring robust data collection, knowledge management, and approach to analysis the evaluation is likely to draw on extensive programme documentation and monitoring information, as well as generate new data. There is a risk that this does not come together coherently to address evaluation questions.
  - e. Consider risks around safeguarding and any ethically considerations around issues such as confidential data collection, safe storage of data, informed consent of key informants etc.
  - f. Challenge of running an evaluation concurrently with rapid events and deployments, ensuring that the evaluation does not interfere or impact on delivery in crisis.

#### **Aid transparency**

67. In line with the International Aid Transparency Initiative (IATI) FCDO requires partners receiving and managing funds to release open data on how this money is spent, in a common, standard, re-usable format and to require this level of information from immediate sub-contractors, sub-agencies and partners. The evaluation Supplier will need to submit copies of their supply chain (sub-contractor) invoices and evidence of payment when invoicing FCDO for its actual costs of procurement of local service and applicable management fee.
68. It is a contractual requirement for all suppliers to comply with this, and to ensure they have the appropriate tools to enable routine financial reporting, publishing of accurate data and providing evidence of this to FCDO. Further IATI information is available from: [www.aidtransparency.net](http://www.aidtransparency.net)
69. The evaluation Supplier will also be required to submit to FCDO at the start of the project a delivery chain map, which details all major sub-contractors and partners. This will need to be kept up to date over the life of the evaluation, which any major revisions notified to FCDO.

#### **UK aid Branding**

70. Suppliers that receive FCDO funding must use the UKaid logo on their development and humanitarian programmes to be transparent and acknowledge that they are funding by UK taxpayers. Suppliers should also acknowledge funding from the UK government in broader communications but no publicity is to be given to this Contract without the prior written consent of FCDO. There may be locations where the use of the UKaid logo will not be

appropriate. Any exceptions to the rule above must be discussed with FCDO on a case by case basis.

#### **Duty of Care (also see Risk Assessment Table)**

71. The evaluation Supplier is responsible for the safety and well-being of their Personnel and Third Parties affected by their activities under this contract, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.
72. It has not yet been determined whether international travel will be required to execute this evaluation. This links to the inception phase decision on whether to proceed as part of the evaluation methodology with case studies, which may include country visits. If there is international travel as part of this evaluation, it is not expected to be to high-risk, significantly conflict-affected contexts.
73. The evaluation Supplier will be responsible for all of their travel and logistics in-country. The SU and FCDO HEROS programme team will support where possible in identifying relevant in-country key informants, particularly in terms of representatives in UK Missions overseas. FCDO will also share available information with the Supplier on security status and developments in-country where appropriate. FCDO will provide the following: A copy of the FCDO visitor notes (and a further copy each time these are updated), which the Supplier may use to brief their Personnel on arrival.
74. The Supplier is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this contract and ensuring that their Personnel register and receive briefing as outlined above. Travel advice is also available on the FCO website and the Supplier must ensure they (and their Personnel) are up to date with the latest position.
75. Bidders must develop their response on the basis of being fully responsible for Duty of Care in line with the details provided above. They must confirm in their Response that:
  - They fully accept responsibility for Security and Duty of Care.
  - They have made a full assessment of security requirements.
  - They have the capability to provide security and Duty of Care for the duration of the contract.
76. If you are unwilling or unable to accept responsibility for Security and Duty of Care as detailed above, your Response will be viewed as non-compliant and excluded from further evaluation.
77. The latest DFID/FCO risk assessment data on countries that will require visits as part of the delivery of the project will be provided once these countries have been selected and agreed upon. For any immediate information on travel please consult the FCDO travel advice: <https://www.gov.uk/foreign-travel-advice>

#### **Selection Criteria**

78. Proposals of up to 30 pages are invited to address these Terms of Reference. They should contain the following sections:
  - Introduction
  - Approach, methodology and data sources
  - Limitations

- Staffing (organisational chart, number of days per staff member, core vs consultant)
- Deliverables and timeline
- Approach to quality assurance
- Engagement with FCDO and SU
- Ethical considerations
- Risk
- Dissemination/evaluation uptake

79. FCDO will consider bids from organisations or consortia, but not a “sole-contractor”.

**Appendix A: of Contract Section 3 (Terms of Reference)**  
**Schedule of Processing, Personal Data and Data Subjects**

This schedule must be completed by the Parties in collaboration with each-other before the processing of Personal Data under the Contract.

The completed schedule must be agreed formally as part of the contract with DFID and any changes to the content of this schedule must be agreed formally with DFID under a Contract Variation.

Description	Details
<b>Identity of the Controller and Processor for each Category of Data Subject</b>	<p>The Parties acknowledge that for the purposes of the Data Protection Legislation, the following status will apply to personal data under this contract:</p> <p>The Parties acknowledge that Clause <b>33.2</b> Protection of Personal Data and <b>33.4</b> (Section 2 of the contract) shall not apply for the purposes of the Data Protection Legislation as the <b>Parties are independent Controllers</b> in accordance with Clause 33.3 in respect of Personal Data necessary for the administration and /or fulfilment of this contract.</p>



## **Annex A – key documents**

### Programme documents

FCDO Development Tracker programme page: <https://devtracker.fcdo.gov.uk/projects/GB-1-205176>

HEROS business case: [http://iati.fcdo.gov.uk/iati\\_documents/21664033.odt](http://iati.fcdo.gov.uk/iati_documents/21664033.odt)

HEROS business case addendum (2020): [http://iati.fcdo.gov.uk/iati\\_documents/56235656.odt](http://iati.fcdo.gov.uk/iati_documents/56235656.odt)

HEROS programme annual reviews 2018 and 2019:  
[http://iati.fcdo.gov.uk/iati\\_documents/45159349.odt](http://iati.fcdo.gov.uk/iati_documents/45159349.odt) and  
[http://iati.fcdo.gov.uk/iati\\_documents/51894179.odt](http://iati.fcdo.gov.uk/iati_documents/51894179.odt)

HEROS programme logframe: [http://iati.fcdo.gov.uk/iati\\_documents/55232779.xlsx](http://iati.fcdo.gov.uk/iati_documents/55232779.xlsx)

HEROS overall programme delivery chain map (separate document).

Terms of Reference Humanitarian and Stabilisation Operations Team tender (separate document)

HEROS evaluation scoping – EQUALS workshop report (separate document)

### FCDO policy and guidance

#### UK Humanitarian Reform Policy

UK International Development Evaluation Policy (May 2013)  
[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/204119/DFID-Evaluation-Policy-2013.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/204119/DFID-Evaluation-Policy-2013.pdf)

FCDO Ethical Guidance for Research, Evaluation and Monitoring Activities (2020)

<https://www.gov.uk/government/publications/dfid-ethical-guidance-for-research-evaluation-and-monitoring-activities>

## Duty of Care Summary Risk Assessment Template

**NOTE: THIS WILL BE COMPLETED WHEN COUNTRIES OF OPERATION ARE KNOWN – FOR INFORMATION ONLY AT THIS STAGE.**

Duty of Care Summary Risk Assessment

**Country:**

**Date of assessment - as at:**

**Assessing official:**

Theme	DFID Risk score
	<b>National</b>
<b>OVERALL RATING<sup>5</sup></b>	
FCO travel advice	
Host nation travel advice	
Transportation	
Security	
Civil unrest	
Violence/crime	
Terrorism	
War	
Hurricane	
Earthquake	
Flood	
Medical Services	
<b>Nature of Project/ Intervention</b>	

<b>1</b> Very Low risk	<b>2</b> Low risk	<b>3</b> Med risk	<b>4</b> High risk	<b>5</b> Very High risk
<b>Low</b>		<b>Medium</b>	<b>High Risk</b>	

NB: This is an assessment of the current situation. The situation may possibly change over the life of the programme.

The Overall Risk rating is calculated using the MODE function which determines the most frequently occurring value.

### Duty of Care

1. The Supplier is responsible for the safety and wellbeing of their Personnel and Third Parties affected by their activities under this contract, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.

2. FCDO will share available information with the Supplier on security status and developments in-country where appropriate. FCDO can provide a separate assessment for each proposed country once they have been finalised. An example template is provided above
3. The Supplier is fully responsible for Duty of Care. The Supplier is responsible for ensuring appropriate safety and security briefings for all their Personnel working under this contract. Travel advice is also available on the UK government website and the Supplier must ensure they and their Personnel are up to date with the latest position.